

# Property & Casualty Insurers

Company Name:

NAIC Company Code:

Contact:

Telephone:

Required Filings in the State of: **Washington**

Filings Made During the Year **2003**

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		<b>I. NAIC FINANCIAL STATEMENTS</b>						
	1	Annual Statement (8 1/2" x 14")	0	1	0	2/28	NAIC	N
	1.1	Printed Investment Schedule detail (Pages E01-E-25)	0	1	xxx	2/28	NAIC	
	2	Protected Cell Annual Statement	0	0	xxx	2/28	NAIC	N
	3	Combined Annual Statement (8 1/2" x 14")	0	1	0	5/1	NAIC	N
	4	Quarterly Financial Statement (8 1/2" x 14")	0	1	0	5/15, 8/14, 11/14	NAIC	N
		<b>II. NAIC SUPPLEMENTS</b>						
	10	Accident & Health Policy Experience Exhibit	0	1	0	4/1	NAIC	N
	11	Combined Insurance Expense Exhibit	0	1	0	5/1	NAIC	N
	12	Credit Insurance Experience Exhibit	0	1	0	4/1	NAIC	N
	13	Investment Risk Interrogatories	0	1	0	4/1	NAIC	N
	14	Financial Guaranty Insurance Exhibit	0	1	0	2/28	NAIC	N
	15	Insurance Expense Exhibit	0	1	0	4/1	NAIC	N
	16	Long Term Care Experience Reporting Forms	0	1	0	4/1	NAIC	N
	17	Management Discussion & Analysis	0	1	0	4/1	Company	N
	18	Medicare Supplement Insurance Experience Exhibit	0	1	0	2/28	NAIC	N
	19	Premiums Attributed to Protected Cells Exhibit	0	1	0	4/1	NAIC	N
	20	Risk-Based Capital Report	0	1	0	2/28	NAIC	N
	21	Schedule SIS	0	N/A	N/A	2/28	NAIC	N
	22	Statement of Actuarial Opinion	0	1	0	2/28	Company	N
	23	Supplement A to Schedule T	0	1	0	2/28, 5/15, 8/14, 11/14	NAIC	N
	24	Supplemental Compensation Exhibit	0	N/A	N/A	2/28	NAIC	N
	25	SVO Compliance Certification	0	1	0	2/28	NAIC	N
	26	SVO Compliance Certification - Quarterly	0	1	0	5/15, 8/14, 11/14	NAIC	N
	27	Trusted Surplus Statement	0	1	0	2/28	NAIC	N
	28	Trusted Surplus Statement - Quarterly	0	1	0	5/15, 8/14, 11/14	NAIC	N
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	30	Annual Statement Electronic Filing	0	1	0	2/28	NAIC	
	31	March .PDF Filing	1	1	1	2/28	NAIC	
	32	Risk-Based Capital Electronic Filing	0	1	0	2/28	NAIC	
	33	Combined Annual Statement Electronic Filing	0	1	0	5/1	NAIC	
	34	Combined Annual Statement .PDF Filing	1	1	1	5/1	NAIC	
	35	Supplemental Electronic Filing	0	1	0	4/1	NAIC	
	36	Supplemental .PDF Filing	1	1	1	4/1	NAIC	
	37	Quarterly Electronic Filing	0	1	0	5/15, 8/14, 11/14	NAIC	
	38	Quarterly .PDF Filing	1	1	0	5/15, 8/14, 11/14	NAIC	
	39	June .PDF Filing	1	1	1	6/1	NAIC	
		<b>IV. AUDITED FINANCIAL STATEMENTS</b>						
	51	Accountants Letter of Qualifications	0	N/A	0		Company	N
	52	Audited Financial Statements	0	1	0	6/1	Company	N
	53	Audited Financial Statements Exemption Affidavit	1	N/A	1	6/1	Company	
	54	Designation of Independent CPA (annual filing)	1	N/A	1	12/31/2002	Company	
	55	Notification of Adverse Financial Condition	1	N/A	1	within 5 days	Company	
	56	Report of Significant Deficiencies in Internal Controls	0	N/A	0	6/1	Company	N
	57	Request for Exemption to File	1	N/A	1	5/16	Company	
	58	Request to File Consolidated Audited Annual Statements	1	N/A	1	5/16	Company	
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Certificate of Compliance	0	0	0		State	
	102	Certificate of Deposit	0	0	0		State	
	103	Filings Checklist (with Column 1 completed)	0	1	0		State	
	104	Risk-Based Capital .PDF Filing	1	0	0	2/28	NAIC	N
	105	Accountants Letter of Qualifications .PDF Filing	1	0	1	6/1	Company	N
	106	Report of Significant Deficiencies in Internal Controls .PDF Filing	1	0	1	6/1	Company	N
	107	Supplemental Compensation Exhibit .PDF Filing	1	0	0	2/28	NAIC	N
	108	Request for Audited Consolidated or Combined Financial Statements	1	0	1	5/16	Company	P
	109	WSHIP Notice of Assessment Report	1	0	1	2/28	State	Q

\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

\*\*If Form Source is NAIC, the form should be obtained from the appropriate vendor.

# Property & Casualty Insurers

**Required Filings in the State of: *Washington***

**Filings Made During the Year *2003***

NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)		
A	Required Filings Contact Person:	Chase Davis 360-725-7204, ChaseD@oic.wa.gov
B	Filing Address:  <b>See next page for optional Jurat signature page</b>	<b>ftp.oic.wa.gov</b> FTP passwords will be distributed by email about February 4, 2003. If you do not receive it by February 5, email the contact person in Note A. <b>For signature pages by mail:</b> Attention: Company Supervision Division PO Box 40259, Olympia, WA 98504-0259 <b>For signature pages by delivery:</b> Attention: Company Supervision Division 5000 Capitol Boulevard SE, Tumwater, WA 98501
C	Mailing Address for Filing Fees:	Included on the Premium Tax form.
D	Mailing Address for Premium Tax Payments:	<b>Tax information is sent separately with its own address.</b> Premium tax contact person: Beverly Dyal 360-725-7032.
E	Delivery Instructions:	<b>For signature pages:</b> U.S. Mail: U.S. Postal Service postmark no later than the indicated due date. Delivery Service: Filings must be physically in the possession of the delivery service no later than the indicated due date.
F	Late Filings:	The commissioner may suspend or revoke the certificate of authority.
G	Original Signatures: (concurrent paper signature page)	<b>Domestic:</b> Original signatures required, except the audited financial statements. <b>Foreign:</b> Facsimile signature or reproduction of original signatures allowable.
H	Signature/Notarization/Certification:	<b>Jurat:</b> At least two of the required officers must sign. Notary digital signature required when using digital signatures on NAIC financial statements.
I	Amended Filings:	Follow the applicable NAIC instructions.
J	Exceptions from normal filings:	Written requests required. State the cause in sufficient detail. For time extensions, state the date the reporting entity will file. Address to Dennis Edward Julnes, Chief Financial Analyst at DennisJ@oic.wa.gov or fax to 360-586-2022. <b>Foreign:</b> Must also supply a copy of any exemption or extension approval from state of domicile.
K	Bar Codes (State or NAIC)	NAIC bar codes required on any concurrent paper signature pages that have a document identifier code.
L	Affidavit of Filing and Financial Statement Attestation	not applicable
M	NONE Filings:	Washington allows consecutive "none" pages on one page.
N	Filings new, discontinued or modified materially since last year:	Most filings previously required on paper are now required to be sent to the OIC FTP site in .PDF electronic form. May use digital signatures or file a concurrent paper signature page. <b>Also, see Note Q, below.</b>
O	Special Liability Insurance Report:	Form and instructions available from <a href="http://www.insurance.wa.gov">http://www.insurance.wa.gov</a> . Contact person: Mr. Lee Barclay, FCAS, MAAA, ARM, 360-725-7115, LeeB@oic.wa.gov. File the form at the address provided on it.
P	Audited Combined or Consolidated Financial Statements:	Show compliance with WAC 284-07-160 in request. Address all requests to Linda A. Spaulding, CPA, AFE.
Q	WSHIP Assessment:	Washington State Health Insurance Pool (WSHIP) members must file the Notice of Assessment Report form (on paper). The cover letter defines "member". Report available on <a href="http://www.insurance.wa.gov">http://www.insurance.wa.gov</a> .

# Washington Optional Jurat Page

NAIC Company Code:

NAIC Group Code:

Reporting Entity Name:

Domiciled in

Mailing Address:

Annual Statement Contact:

(Name)

(Telephone No.)

(E-mail Address)

In the Matter of the Statement )

Filing Required for the Period Ending on the  
day of

Electronic Filing Date:

)  
) **AFFIDAVIT OF FILING**  
) **AND FINANCIAL**  
) **STATEMENT ATTESTATION**

The officers of the above identified reporting entity, being duly sworn, each depose and say that on the electronic filing date above, a true and correct electronic file reflecting the statement for the above named reporting entity, has been sent to the **Washington Office of Insurance Commissioner**, according to their instructions. The electronic file is an exact and complete duplicate of the statement filed with the reporting entity's domestic state, except as to schedules, exhibits and information required to be submitted only to the reporting entity's domestic state.

Additionally, the officers of the above identified reporting entity, being duly sworn, each depose and say that they are the described officers of the said reporting entity, and that for the reporting period stated above, all of the described assets in the above referenced statement were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as therein stated, and that the statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended on that date, and have been completed in accordance with the NAIC *Annual Statement Instructions* and *Accounting Practices and Procedures* manual, except to the extent that (1) state law may differ; or (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively.

-----  
Signature

(Print Name)  
President

-----  
Signature

(Print Name)  
Secretary

-----  
Signature

(Print Name)  
Treasurer

Subscribed and sworn to before me this       day of

Notary Public

My Commission Expires:

# Property & Casualty Insurers 2003 Washington

## General Instructions For Companies to Use Checklist

**Please Note:** This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels, and other information, to all companies but will not be sending their own checklist this year.

**Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.**

### **Column (1) (Checklist)**

For use with the NAIC; do NOT send checklists to Washington.

### **Column (2) (Line #)**

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

### **Column (3) (Required Filings)**

Name of item or form to be filed.

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions exempt* printed detail.

The **March .PDF Filing** is the .pdf file for annual statement data, detail for investment schedules, state pages and supplements due March 1.

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Risk-Based Capital .PDF Filing** is a .pdf file for the RBC report. This is filed only by Washington domestics.

The **Separate Accounts Electronic Filing** includes the separate accounts annual statement and investment schedule detail.

The **Separate Accounts .PDF Filing** is the .pdf file for the separate accounts annual statement and all investment schedule detail.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplement .PDF Filing** is the .pdf file for all supplemental schedules and exhibits due April 1.

The **Quarterly Electronic Filing** includes the quarterly statement data.

The **Quarterly .PDF Filing** is the .pdf for quarterly statement data.

The **Combined Annual Statement Electronic Filing** includes the required pages of the combined annual statement and the combined Insurance Expense Exhibit.

The **Combined Annual Statement .PDF Filing** is the .pdf file for the Combined annual statement data and the combined Insurance Expense Exhibit.

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements.

### **Column (4) (Number of Copies)**

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits.

### **Column (5) (Due Date)**

Indicates the date on which the company must file the form.

### **Column (6) (Form Source)**

This column contains one of three words: "NAIC," "State," or "Company." If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions. If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

### **Column (7) (Applicable Notes)**

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.